

TSS Consultancy Pvt. Ltd.

About TSS

TSS Consultancy is a fast growing technology solutions provider for the financial industry, with a focus on building innovative products for members of Stock exchanges / depositories. We develop low cost products which help our Clients get complete control of their business and compliance with the exchange.

We provide diverse solutions for different segments under **one single platform** called **TSS Small Office**. It consists of following modules, any one or all of which can be licensed individually.

- ✚ Anti Money Laundering (PMLA Regulations)
- ✚ PMS Back office
- ✚ Intermediary Management
- ✚ Terminal Management
- ✚ PRM (Document Management System)
- ✚ ETT (Employee Trade Tracker, Insider Trading Regulations)
- ✚ Inward Outward Management

Sample Clients



Small Office – Anti Money Laundering (AML)

TSS Consultancy's Anti Money Laundering system provides a means to prevent or report money laundering activities in the form of **suspicious transactions by the clients using a Risk based approach**. A financial institution such as a member of the Stock Exchange, Depository Participant can **monitor, investigate and report patterns of transactions** of a suspicious nature, and thus perform due diligence which is required to ensure not only smooth and safe business, but also **compliance with various SEBI as well as exchange specific regulations**.

Any single criterion used to evaluate the suspicious nature of a client's activities will be inadequate and produce inconsequential results. TSS AML is a **unique and comprehensive** system which ranks Clients by assigning negative grades based on **multiple criteria**. The summary provides an easy means to get a "Big picture" of Clients who are found to step in to unusual scenarios.

Key features

- ✓ Consolidated Platform for Equity, Derivatives and Depository Segment.
- ✓ End to End Solution, Screening to STR.
- ✓ **Watch list/ Screening** from multiple sources - SEBI, UN Security Council, OFAC, PEP with PAN Numbers
- ✓ **Ongoing** checking for updated SEBI Debarred Entities with existing clients at a click of a button.
- ✓ **Download Manager** will ensure that all public and trade level information is directly imported to the system.
- ✓ Ranking of Clients based on **smart detection of potentially fraudulent transactions** and trading patterns
- ✓ AML Dashboard allows to analyzing patterns for any period even more than one year.



Small Office – Anti Money Laundering (AML)..continued

- ✓ **Improve accuracy** of alerts and focus on **high-risk clients and events**, rather than chasing all simple alerts based on one single criterion
- ✓ **Risk Categorization** of Clients allows you to highlight high risk Clients
- ✓ Track Clients classified in **Special Categories** like NRI, Trust, Charity, Politically Exposed, Non face-to-face clients, clients with dubious public reputation etc
- ✓ Auto marking of some types of special categories.
- ✓ **Customizable grading system** that allows you to define your own weightings for different unusual scenarios.
- ✓ **Suspicious transaction register** allows you to save and track suspicious transactions as required by regulations of the exchange and SEBI, by maintaining comment log and status (Closed after investigation / Reported to Exchange) for each suspicious transaction
- ✓ **STR Module** Which will create the files as desired by the FIU IND.
- ✓ **55 Institutions** already using the solution.
- ✓ **Performance Benchmarking.** Currently running the dashboard through 12 million trades, 1.3 Million Clients
- ✓ **Constantly updating package** based on feedback from all existing clients spread across geographical locations and regulatory changes.
- ✓ Unique Highest Financial Exposure Concept. (**Client Financial Size**)
- ✓ **Report Builder** to create own views and on conditions and saving.



Small Office – PMS Back Office

Small office brings a very unique approach to the way Port Folio Management services are being done at the back office level. It offers an end to end solution for the same extreme efficiency and control.

Salient Features

- ✓ **Trade file imported in exchange format** The exchange complete trade file could be given to the system and system will take only the PMS relevant trades
- ✓ **Mutual Fund Portion integrated with Exchange Platform:** The funds which need to make an investment in the mutual fund in liquid or any schemes, the trades can be done exchange MF Platform. The units will also come to straight client account.
- ✓ **Equity can be pooled and MF will be non pool :** The same client can have equity as pool type and the MF will be non pool type. So the effort of maintaining records for pool type are not required in Mutual Fund.
- ✓ **Download Manager:** This will import all files like trade, Bhavcopy, corporate action etc..
- ✓ **Dual Accounting:** Complete accounts like profit loss is available client wise as well as of the PMS company.
- ✓ **Integration with depository and bank**
- ✓ **Scrip Master & MF Scheme Master :** Scrip master at one click, no manual entry to be done
- ✓ **Reports:** Extensive reports including regulator require reports available.
- ✓ **NO back office dependency:** The system is independent of the back office as it takes the trade file of the exchange so even if your back office bills are not done, PMS Dept can finish their task.



Small Office – Intermediary / Franchise Manager

Intermediary (Franchise / Sub Broker) Management is an end to end solution, which starts from the lead and goes till the empanelment, servicing, termination process of an intermediary, Far beyond the capabilities of any backoffice software

Salient Features

- ✓ **Approval process within the organization** during a new relationship is software driven and more informed. Like Region Manager or Business development manager approval etc.
- ✓ **Paperwork creation** any form like **AP Paperwork** / Sub Broker Paper work can be created in **exchange format** in word or pdf can be created from system
- ✓ **Email Manager** allows various emails sending by creating front end templates within and out of the organization at various stages of empanelment process.
- ✓ **Deposit Manager:** Allows complete tracking of agreed deposit with the various intermediaries and received and shortfall.
- ✓ **Sending Bulk SMSs** to all Intermediaries directly at a click.
- ✓ **Workflow Manager:** Allows an on screen view of status of registration of a new intermediary within the organization and the exchange level.
- ✓ **Paperless inspection:** System allows storing & scanning of all documents like SEBI certificates, exchanges paperwork etc...
- ✓ **Segment wise date wise status track,** Allowing to see from which date to which data an individual was applied for AP etc..Extremely helpful for compiling info for exchange inspections and audits.
- ✓ **Tracking** whether **display** of glow **sign board** / mandatory certificates sent to Franchisee have been put up or not.
- ✓ **Report Builder** allowing all and any kind of reports to be created.
- ✓ **Graphical Interactive reports** useful for cross selling.
- ✓ **Tracking Negotiated terms** like CTCL Charges / VPN Charges etc...



Small Office Terminal Management

Terminal Manager helps you take complete control of the Terminals assigned to any Intermediary and avoid penalties from the Exchanges for violation of compliances which are otherwise extremely difficult to adhere to.

Salient features / highlights

- ✓ **12 Digit / 16 digit terminal Id is created from software** automatically.
- ✓ **Compliance Validation** like 5 is to one in cash segment or one is to one in derivative segment.
- ✓ **Certificate Expiry** intimation email in advance to specified people.
- ✓ **Terminal reconciliation** this can be used for cross checking any mismatch between back office and exchange
- ✓ **Certification details** - exams cleared by each Dealer (like NCFM Capital Market, NCFM Derivatives Market, AMFI Mutual Funds, NISM Series - 1 etc) along with details like Exam Date, Expiry Date, Score details and Registration number.
- ✓ **Dealer Attachments** - copies of Dealer certificates or any other documents can be stored with the Dealer record - all stored in database

Reports

- ✓ Total terminals given to an Intermediary by Segment with all details. So no disputes of charges.
- ✓ Total number of CTCL licenses used as of date of particular vendor
- ✓ Dealers that have FnO / Eq exam certification, but no Terminal attached to them

Advantages

- ✓ Cut down Exchange Penalties due to non-compliance
- ✓ Check dealers with certifications which are not used for any Terminal



Small Office –Physical Record Management (PRM) (Document Management)

The Physical Record Management (PRM) module in Small Office has been designed keeping one single objective “**access to any document Electronic / physical any time**”.

Salient Features:

- ✓ **Simple, Effective and Customizable:** Easy to use interface for easy and quick entering and retrieving of data. You will be surprised with the effectiveness of PRM in keeping track of all your documents!
- ✓ **Central Document Storage solution:** Attach multiple files with each record. The possibilities are endless.
- ✓ **Simplify IT infrastructure and reduce costs:** All your important files are stored centrally at one location and are backed up to one single file with one click.
- ✓ **Support for all file formats** including but not limited to PDFs, Word documents, Excel spreadsheets, plain text files, html, zip files, etc.
- ✓ **File – Document mapping:** Allows you to specify which Documents can be stored inside a particular file.
- ✓ **Track with Serial No, Date and/or Client**
- ✓ **UCC Tracker:** Gives you a mismatch between UCC done on exchange to available record of KYC in PRM.
- ✓ **Complete organization can use.**
- ✓ **Sample Documents:** Expense Bills, Stamp Duty Challans, Concurrent Audits , Exchange Inspection and correspondence, Exchange Submissions, KYC, ROC Records like Form 32, Board Resolution, IBT Reports, System Audit Reports, Service Tax Returns basically any document any department any type.



Small Office: ETT (Employee Trade Tracker, Insider Trading)

ETT is a solution that helps to have Employee trade related compliances to be done in spirit. It goes a step above the other similar solutions by cross checking the declared employee trade/ holdings with the Trading / depository system.

Salient Features

- ✓ **Employee Master:** Exhaustive for maintaining information includes details like date of relieving, multiple dependents and their multiple demat accounts. Also allows storing of scanned identity proofs / address proofs or any such type of documents.
- ✓ **Class Master & Rules:** Allows creation of different classes and then creating rules for each class, like number of days in holding period, amount upto which no approval, intimation done in how many does. Later this class will be allocated period wise in employee master date wise.
- ✓ **Request for a trade:** Complete system driven process.
- ✓ **Grey List:** Allows the organization to maintain a list of select scrips, approvals for which are dealt more seriously.
- ✓ **Approval Rejection Manager Email Integrated:** Complete system driven process. Unique method of assigning approver, like for all employees it will be compliance officer, but for compliance officer it will be director.
- ✓ **Auto Intimation after trade:** When employee trades the intimation happens automatically. Similarly for holdings if demat account is with same dp holding is auto submitted.
- ✓ **Checks & Balances:** System would highlight various discrepancies like trades done without approval, shares sold before holding period, Trades done after expiry of approval etc..



TSS Courier (Inward Outward)

TSS Courier helps you centralize and manage your company's Inwards and Outwards, and provides related features that not only make regulatory compliance easy, but also save time, increase staff efficiency, and utilize resources effectively.

Salient Features

- ✓ **Outward:** Track of the status (Sent/Received/Returned etc) of each document like Hand Delivery / Courier / Register / Post.
- ✓ **Inward (Two Levels)**
Manage all your Inwards by keeping track of the status (Received/Confirmed). Two Level here is that if an Inward is recorded as "Received by User X" at the reception, then the user X can login to the application and confirm that it was indeed received by him.
- ✓ **Scan your PODs / Booking slips** and attach hundreds of them by one click.
- ✓ **One Click Email to client:** Allows you to send an email immediately to the client the information about dispatch and the scanned POD during a complaint.
- ✓ **Extensive Permissions:** Allows you to define extreme permissions which can restrict user to only view or send only particular documents or view specific inwards.
- ✓ **Activity (Audit Trail)**
The application lets you keep a track of every action of every user. For example, you can view outwards that were deleted by a particular user, or see a history of all correspondence addresses of the client, and which user modified it etc.
- ✓ **Label Printing:** Save time by printing Client Names and addresses on labels which are highly customizable. With just two clicks you can print labels for each outward that was sent today.
- ✓ **Extensive Search:** Allows you to search documents sent to a client for a period, allows an address based search / document based search.
- ✓ **Family wise courier** option which allows saving man power & costs

